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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/765,523	01/27/2004	Lloyd Leon Burch	1565.070US1	1021

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EXAMINER
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CHEN, SHIN HON

ART UNIT	PAPER NUMBER
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2131

MAIL DATE	DELIVERY MODE
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05/17/2007

PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

## Office Action Summary

Application No.

10/765,523

Applicant(s)

BURCH ET AL.

Examiner

Shin-Hon Chen

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 24 June 2005.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-30 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-6 and 9-30 is/are rejected.
- 7) ☒ Claim(s) 7 and 8 is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 27 January 2004 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date 6/24/05 and 1/27/04.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_\_

### DETAILED ACTION

1. Claims 1-30 have been examined.

#### *Allowable Subject Matter*

2. Claims 7, 8, and 15 are objected to as being dependent upon a rejected base claim, but would be allowable if rewritten in independent form including all of the limitations of the base claim and any intervening claims.

#### *Claim Rejections - 35 USC § 102*

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for a patent

4. Claim 1 is rejected under 35 U.S.C. 102(a) as being anticipated by Adams U.S. Pat. No. 6718470 (hereinafter Adams).

5. As per claim 1, Adams discloses a method for authenticating a principal, comprising: receiving an access request from a first principal for access to a second principal (Adams: column 6 lines 49-57); evaluating a contract to acquire a credential for the first principal (Adams: column 6 lines 57-61); and transmitting the credential to the first principal for use in interacting with the second principal (Adams: column 6 lines 62-65), wherein the credential includes authentication information, aggregated attributes and aggregated policies for use by the

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first principal in interacting with the second principal (Adams: column 6 line 65 – column 7 line 5).

*Claim Rejections - 35 USC § 102*

6. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

7. Claims 1-4, 6, 9-30 are rejected under 35 U.S.C. 102(e) as being anticipated by Wood et al. U.S. Pub. No. 20040210771 (hereinafter Wood).

8. As per claim 1, Wood discloses a method for authenticating a principal, comprising: receiving an access request from a first principal for access to a second principal (Wood: [0036]: receive request from entity); evaluating a contract to acquire a credential for the first principal (Wood: [0036]: authenticate the entity; [0044]: session token is provided to requesting entity); and transmitting the credential to the first principal for use in interacting with the second principal (Wood: [0047]: the session token allows the requesting entity to interact with the resources), wherein the credential includes authentication information, aggregated attributes and aggregated policies for use by the first principal in interacting with the second principal (Wood: [0046]).

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9. As per claim 2, Wood discloses the method of claim 1. Wood further discloses determining if the first principal is authenticated based on the contract and if the first principal is not authenticated establishing an authentication session with the first principal to properly authenticate the first principal based on the contract (Wood: [0047]: establish session if not already established by authenticating the user).

10. As per claim 3, Wood discloses the method of claim 1. Wood further discloses receiving an additional access request from the first principal for access to a third principal (Wood: [0075]: another service); evaluating a new contract to acquire a second credential for the first principal (Wood: [0075]: additional authentication is required); and transmitting the second credential to the first principal for use in interacting with the third principal (Wood: [0075]: updated session credential is provided).

11. As per claim 4, Wood discloses the method of claim 1. Wood further discloses removing the contract or revoking the credential when an expiring event is detected during a session with the first principal ([0046]).

12. As per claim 6, Wood discloses the method of claim 1. Wood further discloses receiving a modification to the contract from the principal (Wood: [0010]); determining if the modification is permissible according to the contract; updating the contract if the modification is permissible (Wood: [0010]); deriving a modified credential from the contract; and transmitting the modified credential to the first principal for use in interacting with the second principal (Wood: [0039]).

13. As per claim 9, Wood discloses a method for authenticating a principal, comprising: receiving first requests from a first principal to interact with one or more different principals (Wood: [0036]: receive request from entity); acquiring first contracts for the first principal, wherein each first contract is associated with a different one of the one or more different principals (Wood: [0036]: authenticate the entity; [0044]: session token is provided to requesting entity; [0048]: check required trust level); acquiring a second contract for each of the one or more different principals (Wood: [0039]); selectively assembling and transmitting first credentials for the first requests for use by the first principal in interacting with the one or more different principals (Wood: [0045]: new session token); and selectively assembling and transmitting second credentials for other requests associated with and used by the one or more different principals when interacting with the first principal or when interacting with different ones of the one or more different principals (Wood: [0057]).

14. As per claim 10, Wood discloses the method of claim 9. Wood further discloses receiving modifications to one or more of the first contracts from the first principal or from one or more of the one or more different principals; selectively assembling and transmitting modified first credentials to the first principal based on the modifications (Wood: [0010]).

15. As per claim 11, Wood discloses the method of claim 9. Wood further discloses receiving modifications to one or more of the second contracts from the first principal or from the one or more of the one or more different principals; selectively assembling and transmitting

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modified second credentials to the one or more different principals affected by the modifications (Wood: [0010]).

16. As per claim 12, Wood discloses the method of claim 9. Wood further discloses detecting an event that renders one or more of the first or second contracts stale; and revoking one or more of the first or second credentials which are affected by the event (Wood: [0092]: credential revoked).

17. As per claim 13, Wood discloses the method of claim 9. Wood further discloses wherein the selectively assembling of the first and second credentials further includes: acquiring appropriate authentication certificates for each of the first and second credentials; and acquiring aggregated attribute information and aggregated policies for each of the authentication certificates (Wood: [0010]).

18. As per claim 14, Wood discloses the method of claim 13. Wood further discloses expressing the authentication certificates within the first and second credentials as assertions (Wood: [0010]).

19. As per claim 15-30, claims 15-30 encompass the same scope as claims 1-4, 6, 9-14. Therefore, claims 15-30 are rejected based on the same reasons set forth above in rejecting claims 1-4, 6 and 9-14.

*Claim Rejections - 35 USC § 103*

20. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

21. Claim 5 is rejected under 35 U.S.C. 103(a) as being unpatentable over Wood in view of Bricknell et al. U.S. Pub. No. 20030061144 (hereinafter Bricknell).

22. As per claim 5, Wood discloses the method of claim 1. Wood does not explicitly disclose receiving a new request from a third principal, wherein the new request desires attribute information associated with the first principal; acquiring a new contract for the third principal; evaluating the new contract to acquire a new credential for the third principal; and transmitting the new credential to the third principal for use in authenticating and interacting with the first principal to acquire the attribute information. However, Bricknell discloses a third party wishing to obtain a user's attribute information is subject to access control by the verification service (Bricknell: [0028] and [0035]: determine the policy and grant attribute information to third entity). It would have been obvious to one having ordinary skill in the art to control the user's attribute information to service providers/resources because any authentication service can provide two side authentication services. Therefore, it would have been obvious to one having ordinary skill in the art at the time of applicant's invention to combine the teachings of Bricknell within the system of Wood because it prevents user's attribute information from obtained by hackers/malicious users.



***Conclusion***

23. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Adams U.S. Pat. No. 6718470 discloses system for granting security privilege in a communication system.

Blakeley, III et al. U.S. Pub. No. 20040128378 discloses method for user-determined attribute storage in a federated environment.

Liddle U.S. Pub. No. 20040187031 discloses trust management.

He et al. U.S. Pat. No. 6088451 discloses security system for network element access.

Lortz U.S. Pat. No. 6957261 discloses resource policy management using a centralized policy data structure.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Shin-Hon Chen whose telephone number is (571) 272-3789. The examiner can normally be reached on Monday through Friday 8:30am to 5:30pm.


If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ayaz Sheikh can be reached on (571) 272-3795. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Shin-Hon Chen  
Examiner  
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SC

  
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